

Applicant: Roger W. Phillips, et al.
 Serial No.: 10/637,605 Attorney Docket No.: 48930-01531
 Filing Date: August 8, 2003 Group: _____
 For: MULTI-LAYERED MAGNETIC PIGMENTS AND FOILS



INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

| Examiner Initial* | Document Number | Issue/Publication Date | Name | Sub Class | Class | Filing Date |
|----------------------|--------------------|---------------------------|-------------------|--------------|-------|----------------|
| <u>X</u> 1 | 2,570,856 | 10/09/51 | Pratt, et al. | 41 | 32 | 03/25/47 |
| <u> </u> 2 | 3,011,383 | 12/05/61 | Sylvester, et al. | 88 | 1 | 04/30/57 |
| <u> </u> 3 | 3,791,864 | 02/12/74 | Steingroever | 117 | 238 | 11/05/71 |
| <u> </u> 4 | 3,926,659 | 12/16/75 | Bernhard, et al. | 106 | 291 | 03/15/74 |
| <u> </u> 5 | 4,105,572 | 08/08/78 | Gorondy | 252 | 62.1 | 03/31/76 |
| <u> </u> 6 | 4,272,602 | 06/09/81 | Stemme, et al. | 430 | 140 | 12/07/82 |
| <u> </u> 7 | 4,323,904 | 04/06/82 | Edwards, et al. | 346 | 74.7 | 09/13/79 |
| <u> </u> 8 | 4,428,974 | 01/31/84 | Okita, et al. | 427 | 44 | 12/07/82 |
| <u> </u> 9 | 4,434,010 | 02/28/84 | Ash | 106 | 291 | 10/26/81 |
| <u> </u> 10 | 4,552,593 | 11/12/85 | Ostertag | 106 | 291 | 10/03/83 |
| <u> </u> 11 | 4,705,300 | 11/10/87 | Berning, et al. | 283 | 91 | 11/21/86 |
| <u> </u> 12 | 4,705,356 | 11/10/87 | Berning, et al. | 350 | 166 | 07/13/84 |
| <u> </u> 13 | 4,721,217 | 01/26/88 | Phillips, et al. | 215 | 230 | 08/07/86 |
| <u> </u> 14 | 4,756,771 | 07/12/88 | Brodalla, et al. | 148 | 61 | 04/14/87 |
| <u>X</u> 15 | 4,779,898 | 10/25/88 | Berning, et al. | 283 | 58 | 08/21/87 |

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Date Considered: 06-04

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| | | | | | | | |
|-------------------------------------|----|-----------|----------|---------------------|-----|-------|----------|
| <input checked="" type="checkbox"/> | 16 | 4,858,648 | 06/13/89 | Phillips, et al. | 350 | 166 | 05/03/88 |
| <input type="checkbox"/> | 17 | 4,859,495 | 08/22/89 | Peng, et al. | 427 | 548 | 03/15/98 |
| <input type="checkbox"/> | 18 | 4,911,947 | 03/27/90 | Melcher, et al. | 427 | 26 | 10/03/86 |
| <input type="checkbox"/> | 19 | 4,930,866 | 06/05/90 | Berning, et al. | 350 | 320 | 06/10/88 |
| <input type="checkbox"/> | 20 | 4,978,394 | 12/18/90 | Ostertag, et al. | 106 | 404 | 04/14/89 |
| <input type="checkbox"/> | 21 | 5,002,312 | 06/26/91 | Phillips, et al. | 283 | 72 | 12/12/89 |
| <input type="checkbox"/> | 22 | 5,009,486 | 04/23/91 | Dobrowolski, et al. | 350 | 164 | 03/23/89 |
| <input type="checkbox"/> | 23 | 5,059,245 | 10/22/91 | Phillips, et al. | 106 | 22 | 09/26/88 |
| <input type="checkbox"/> | 24 | 5,084,351 | 01/28/92 | Phillips, et al. | 428 | 411.1 | 03/29/89 |
| <input type="checkbox"/> | 25 | 5,135,812 | 08/04/92 | Phillips, et al. | 428 | 403 | 03/27/91 |
| <input type="checkbox"/> | 26 | 5,171,363 | 12/15/92 | Phillips, et al. | 106 | 22 | 06/21/91 |
| <input type="checkbox"/> | 27 | 5,214,530 | 05/25/93 | Coombs, et al. | 359 | 359 | 11/27/91 |
| <input type="checkbox"/> | 28 | 5,217,804 | 06/08/93 | James, et al. | 428 | 329 | 11/06/90 |
| <input type="checkbox"/> | 29 | 5,242,617 | 09/07/93 | Metzger, et al. | 252 | 299.5 | 02/09/90 |
| <input type="checkbox"/> | 30 | 5,278,590 | 01/11/94 | Phillips, et al. | 359 | 589 | 04/26/89 |
| <input type="checkbox"/> | 31 | 5,279,657 | 01/18/94 | Phillips, et al. | 106 | 22 | 06/23/92 |
| <input type="checkbox"/> | 32 | 5,356,471 | 10/18/94 | Reynders | 106 | 489 | 08/17/93 |
| <input type="checkbox"/> | 33 | 5,362,315 | 11/08/94 | Müller-Rees, et al. | 106 | 493 | 11/22/93 |
| <input checked="" type="checkbox"/> | 34 | 5,364,467 | 11/15/94 | Schmid, et al. | 106 | 404 | 04/20/93 |

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0/637,605 Attorney Docket No.: 48930-01531

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MULTI-LAYERED MAGNETIC PIGMENTS AND FOILS

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| 35 | 5,364,689 | 11/15/94 | Kashiwagi, et al. | 428 | 195 | 10/21/92 |
| 36 | 5,549,774 | 08/27/96 | Miekka, et al. | 156 | 209 | 05/11/92 |
| 37 | 5,549,953 | 08/27/96 | Li | 428 | 64.1 | 04/29/93 |
| 38 | 5,571,624 | 11/05/96 | Phillips, et al. | 428 | 403 | 12/15/94 |
| 39 | 5,573,584 | 11/12/96 | Ostertag, et al. | 106 | 417 | 11/30/93 |
| 40 | 5,593,773 | 01/14/97 | McKay, et al. | 428 | 328 | 07/23/93 |
| 41 | 5,607,504 | 03/04/97 | Schmid, et al. | 106 | 403 | 11/28/94 |
| 42 | 5,624,076 | 04/29/97 | Miekka, et al. | 241 | 3 | 06/07/95 |
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| 44 | 5,629,068 | 05/13/97 | Miekka, et al. | 428 | 148 | 06/07/95 |
| 45 | 5,630,877 | 05/20/97 | Kashiwagi, et al. | 118 | 623 | 05/25/95 |
| 46 | 5,648,165 | 07/15/97 | Phillips, et al. | 428 | 346 | 12/22/93 |
| 47 | 5,672,410 | 09/30/97 | Miekka, et al. | 428 | 148 | 02/09/93 |
| 48 | 5,683,622 | 11/04/97 | Krätzschar, et al. | 252 | 299.01 | 05/05/95 |
| 49 | 5,733,976 | 03/31/98 | Sailer | 525 | 100 | 02/15/96 |
| 50 | 5,763,086 | 06/09/98 | Schmid, et al. | 428 | 404 | 10/09/96 |
| 51 | 5,766,334 | 06/16/98 | Hashizume, et al. | 106 | 403 | 06/05/96 |
| 52 | 5,766,355 | 06/16/98 | Bujard, et al. | 106 | 404 | 04/23/97 |
| 53 | 5,766,738 | 06/16/98 | Phillips, et al. | 428 | 200 | 06/06/95 |

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| | | | | | | |
|-----------|---------------------|-----------------|-----------------------------|------------|---------------|-----------------|
| <u>54</u> | <u>5,807,497</u> | <u>09/15/98</u> | <u>Gailberger, et al.</u> | <u>252</u> | <u>299.01</u> | <u>05/18/95</u> |
| <u>55</u> | <u>5,824,733</u> | <u>10/20/98</u> | <u>Döbert, et al.</u> | <u>524</u> | <u>506</u> | <u>04/26/95</u> |
| <u>56</u> | <u>5,830,567</u> | <u>11/03/98</u> | <u>Panush</u> | <u>428</u> | <u>324</u> | <u>09/19/90</u> |
| <u>57</u> | <u>5,851,277</u> | <u>12/22/98</u> | <u>Müller-Rees, et al.</u> | <u>106</u> | <u>287.35</u> | <u>07/08/97</u> |
| <u>58</u> | <u>5,858,078</u> | <u>01/12/99</u> | <u>Andes, et al.</u> | <u>106</u> | <u>437</u> | <u>01/09/98</u> |
| <u>59</u> | <u>5,877,895</u> | <u>03/02/99</u> | <u>Shaw, et al.</u> | <u>359</u> | <u>588</u> | <u>03/20/95</u> |
| <u>60</u> | <u>6,013,370</u> | <u>01/11/00</u> | <u>Coulter, et al.</u> | <u>428</u> | <u>403</u> | <u>01/09/98</u> |
| <u>61</u> | <u>6,103,361</u> | <u>08/15/00</u> | <u>Batzar, et al.</u> | <u>428</u> | <u>323</u> | <u>09/01/98</u> |
| <u>62</u> | <u>6,150,022</u> | <u>11/21/00</u> | <u>Coulter, et al.</u> | <u>428</u> | <u>403</u> | <u>12/07/98</u> |
| <u>63</u> | <u>6,157,489</u> | <u>12/05/00</u> | <u>Bradley, Jr., et al.</u> | <u>359</u> | <u>584</u> | <u>11/24/98</u> |
| <u>64</u> | <u>6,387,498-B1</u> | <u>05/14/02</u> | <u>Coulter, et al.</u> | <u>428</u> | <u>403</u> | <u>04/07/00</u> |

Foreign Patent Documents

| <u>Examiner Initial*</u> | <u>Document Number</u> | <u>Publication Date</u> | <u>Country or Patent Office</u> | <u>Sub Class</u> | <u>Class</u> | <u>Translation</u> |
|--------------------------|------------------------|-------------------------|---------------------------------|------------------|--------------|--------------------|
| <u>65</u> | <u>DE 39 38 055</u> | <u>05/23/91</u> | <u>Germany</u> | | | <u>No</u> |
| <u>66</u> | <u>DE 43 13 541</u> | <u>10/27/94</u> | <u>Germany</u> | | | <u>No</u> |
| <u>67</u> | <u>DE 43 40 141</u> | <u>06/01/95</u> | <u>Germany</u> | | | <u>No</u> |
| <u>68</u> | <u>DE 44 19 173</u> | <u>12/07/95</u> | <u>Germany</u> | | | <u>No</u> |
| <u>69</u> | <u>EP 353,544</u> | <u>07/02/90</u> | <u>Europe</u> | | | <u>Yes</u> |

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Applicant: Roger W. Phillips, et al.
Serial No. 10537,605 Attorney Docket No.: 48930-01531
Filing Date: August 8, 2003 Group: _____
For: MULTI-LAYERED MAGNETIC PIGMENTS AND FOILS

| | | | | | |
|-------------------------------------|----|--------------|----------|--------|-----|
| <input checked="" type="checkbox"/> | 70 | EP 686,675 | 12/13/95 | Europe | Yes |
| <input type="checkbox"/> | 71 | EP 710,508 | 10/27/95 | Europe | Yes |
| <input type="checkbox"/> | 72 | EP927,749 | 07/07/99 | Europe | N/A |
| <input type="checkbox"/> | 73 | EP 927,750 | 07/07/99 | Europe | N/A |
| <input type="checkbox"/> | 74 | JP 10-147065 | 06/89 | Japan | No |
| <input type="checkbox"/> | 75 | JP 56-130469 | 10/82 | Japan | No |
| <input checked="" type="checkbox"/> | 76 | WO 96/22336 | 07/25/96 | PCT | No |

Other Documents

(including author, title, pertinent pages, etc.)

Examiner
Initial*

| | | |
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| <input checked="" type="checkbox"/> | 77 | J.A. Dobrowolski, K.M. Baird, P.D. Carman and A. Waldorf, "Optical Interference Coatings for inhibiting of Counterfeiting," Optica Acta, 1973, Vol. 20. 12, Pages 925-937 |
| <input type="checkbox"/> | 78 | John M. McKiernan, et al., "Luminescence and Laser Action of Coumarin Dyes Doped in Silicate and Aluminosilicate Glasses Prepared by the Sol-Gel Technique," Journal of Inorganic and Organometallic Polymers, Vol. 1, No. 1, 87-103, 1991 |
| <input type="checkbox"/> | 79 | The Mearl Corporation brochure for "Mearl Iridescent Film," Peekskill, New York |
| <input type="checkbox"/> | 80 | CHROMAFLAIR Light Interference Pigments, Technical Bulletin No. 2, "Dynamic Color Area Diagram and Value," TB-02-98 |
| <input type="checkbox"/> | 81 | NPIRI Raw Materials Data Handbook, Volume 4 Pigments, 1983, "Pigments are not Dyes" |
| <input checked="" type="checkbox"/> | 82 | The Material Science of Thin Films, Milton Ohring, pages 487-489 |

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Form PTO-1449

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- 83 Handbook of Chemistry and Physics, 79th Edition, 1998-1999, pages 12-115 – 12-116
- 84 Jeffrey I. Zink, et al., "Optical Probes and Properties of Aluminosilicate Glasses Prepared by the Sol-Gel Method"

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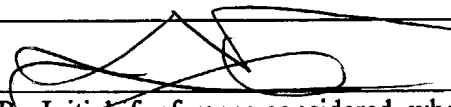
While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142

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